

DEPARTMENT OF THE ARMY  
Corps of Engineers, Northwestern Division  
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CENWD-RM  
Memorandum  
No. 1-1-1

15 September 2000

Administration  
INSPECTION OF DISTRICT ACTIVITIES

**History.** This issue is a revision to NWDOM 1-1-1.

**Summary.** This memorandum prescribes policy and procedures for planning and conducting inspections in the Northwestern Division. It includes policies on command inspections, staff assistance and quality assurance inspections, and the integration of other inspections into an organizational inspection program.

1. PURPOSE. Establish policy and procedures for conducting inspections.
2. APPLICABILITY. This memorandum is applicable to the Northwestern Division Headquarters Office.
3. RELATED REFERENCE. AR 1-201, Army Inspection Policy.
4. TERMS.
  - a. Organizational Inspection Program (OIP). The OIP encompasses all Division/Regional Office inspection activities (to include staff assistance visits and QA inspections) and integrates them into a single inspection program. Its purpose is to assure a formal, comprehensive inspection capability that meets Army and USACE requirements.
  - b. Command Inspection. An inspection of an organization conducted by a commander in the chain of command of the inspected activity. Within NWD, these inspections are to occur 6 months after the arrival of a new District Commander, and NLT 6 months prior to a District Commander's scheduled departure. The Command Inspection will be performed in a centralized manner.

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\*This memorandum supersedes NWDOM 1-1-1, 1 July 1998

c. Staff Assistance Visit. A visit to a district or field office by NWD staff to assist with resolution of problems, gather data necessary to solve problems or provide assistance as requested by a district. Visits are functionally focused, with no formal evaluation required.

d. Quality Assurance Inspection. A quality assurance inspection is an inspection or audit to assess the products and/or processes the districts follow in implementing their quality management system. These inspections determine whether products/processes comply with standards and whether the quality management system is being implemented. Typically, quality assurance inspections are conducted on the engineering and construction products and processes of the district, and on the processes and policies used to manage the O&M programs in each district.

## 5. POLICY.

a. General. Inspections/visits will be coordinated with the applicable districts to ensure minimal disruption and to avoid peak workload periods. Quality assurance inspections will be consolidated with command inspections whenever feasible.

### b. Command Inspections.

(1) Command inspection objectives are as follows:

(a) Determine compliance with regulatory requirements.

(b) Assess the district's capability to perform assigned missions.

(c) Assess ability to execute plans and policies.

(d) Assess management controls (see Appendix A).

(e) Assess compliance with the Chief Financial Officers Act of 1990 (CFO Act), with emphasis on correction of any findings resulting from cyclical audits of USACE CFO issues by district Internal Review Offices.

(f) Assist District Commanders by identifying areas needing improvement and disseminating lessons learned from other areas of the command.

(g) Follow up on issues identified in previous reports.

(2) The Deputy Division Commander will:

(a) Identify functional areas to be inspected.

- (b) Approve inspection checklists.
- (3) The Director of Resource Management (DRM) will:
  - (a) Serve as the administrative team leader for district inspections.
  - (b) Manage the Organizational Inspection Program.
  - (c) Act as the office of record for all inspection reports.
  - (d) Prepare the command inspection schedule.
- c. Staff Assistance/Field Visits. Staff assistance/field visits will be conducted when requested by a district or when directed by the Division Commander/Deputy, or NWD Director/Office Chief. These visits are intended to effect problem resolution or facilitate mission accomplishment.
- d. Quality Assurance Inspections. Quality assurance inspections will be conducted as deemed necessary by the functional chief, or as directed by the Division Commander/Deputy. Inspections will be scheduled as necessary to assure that the districts' processes, products and services comply with the quality management system.

6. INSPECTION PROCEDURES.

- a. Schedule.
  - (1) By 20 August each year, DRM will disseminate the draft command inspection schedule to NWD Directors and Office Chiefs.
  - (2) Directors and Office Chiefs will submit to DRM by 5 September of each year their schedule of staff assistance visits and quality assurance inspections. In addition, any known inspections and audits planned by external organizations, with scheduled dates, will also be furnished to DRM, for inclusion in the OIP.
  - (3) DRM, in conjunction with the Deputy Commander, will prepare and submit to the NWD Commander by 15 September a proposed command inspection schedule for review and approval.
  - (4) No later than 1 October, DRM will publish the NWD OIP schedule for the fiscal year.

b. Notice.

(1) Staff assistance visits and quality assurance inspections - Specific date(s) and areas to be covered will be coordinated by the division office proponent with district counterparts adequately in advance of the inspection or visit.

(2) The OIP schedule will be posted to the NWD Master Calendar (maintained in the Microsoft Outlook NWD Public Folder).

c. Checklists. Command inspection checklists prepared by NWD proponents will be furnished to DRM for review and approval by the Deputy Commander at least 30 days prior to the inspection.

d. Reports.

(1) For command inspection visits, the oral report of findings and recommendations made to the District Commander or his representative at the exit briefing will be confirmed in writing within 10 days. Inspection team members will prepare reports that address, as a minimum, the objectives in paragraph 5.b. (1), along with recommended corrective actions. Format for the report will include:

(a) Executive Summary for each organization visited:

(b) Issue:

(c) Corrective Action, or laudatory comments:

(2) Command inspection reports will be prepared by the appropriate staff organization and forwarded to DRM where they will be consolidated into a single report for the signature of the Division Commander.

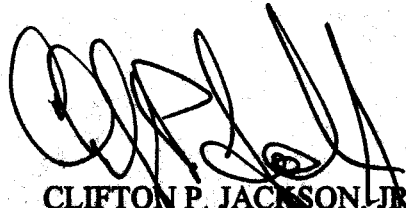
(3) DRM will maintain the consolidated record of inspection results.

(4) Reports for staff assistance/field visits will be provided to the individual or district element visited. DRM does not need a copy of these reports.

(5) Directors and Office Chiefs will assure that quality assurance inspections reports are prepared in a timely manner and forwarded to the districts. DRM does not need a copy of these reports.

7. **MANAGEMENT INFORMATION CONTROL.** Reporting requirements in this memorandum are exempt from information control in accordance with AR 335-15, paragraph 5-2e.

FOR THE COMMANDER:



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Appendix  
App A – Management Control  
Assessment

**DISTRIBUTION:**

<http://www.nwp.usace.army.mil/im/r.coe/regs/welcome.htm>

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Directors and Office Chiefs

## APPENDIX A

### MANAGEMENT CONTROL ASSESSMENT

Effective district management controls promote mission execution with available resources by enhancing efficiency and effectiveness through the prevention of mismanagement, misappropriation, waste, fraud and abuse. Management controls are any process, procedure, rule, mechanism, technique, organizational arrangement, staffing action, or tracking, monitoring, reconciliation and follow-up process used by a manager to ensure that what should get done actually gets done - on time, within budget and in full compliance with applicable public policy, laws, rules and regulations and provides a quality product for the customer. They are a fundamental component of mission execution and stewardship of resources. Therefore, a management control assessment is an integral part of a Division Headquarters command inspection. It is not a separate, distinct aspect of the visit, nor a separate component of the report, but rather it is incorporated into the inspection of all issues and functions covered throughout the visit. The management control assessment of issues and functions covered in the visit should address the following:

1. An evaluation of typical management controls common to most operations, as well as unique management controls that may be applicable only to the operation or function being inspected. This is particularly critical if the inspection indicates that performance, compliance or mission accomplishment are less than successful. Management controls are usually at the root of performance, compliance or mission accomplishment problems.
2. An evaluation of district managers' understanding of their management control responsibilities as demonstrated by findings associated with the following questions:
  - a. Do managers' actions, as well as the dialogue during the command inspection or staff inspection visit, indicate recognition and accomplishment of their inherent and explicit responsibility to establish and utilize effective management controls in their operations?
  - b. When the performance of their operation is unsatisfactory, errors are made, or there is evidence of mismanagement, are there indications that managers analyze and improve management controls to rectify the problem(s)?
  - c. Do managers ensure timely and effective resolution of audit findings and recommendations, and implementation of agreed-upon corrective actions?
  - d. Are recent District management control evaluations valid and accurate; do they indicate management control shortcomings that have not been adequately addressed?
  - e. Do managers' Total Army Performance Evaluation System (TAPES) performance objectives include the required management control objective?
  - f. Do managers have a copy of the District Management Control Regulation?